



Library of Congress

National Digital Information Infrastructure and Preservation Program

Program Announcement to Support Building a Network of Partners
Collaborative Collection Development

August | 2003



Library of Congress
101 Independence Avenue, S.E.
Washington, D.C. 20540

For more information:

National Digital Information Infrastructure and Preservation Program
<http://www.digitalpreservation.gov/programannouncement>
Telephone: 202-707-3455
E-mail: osi2@loc.gov

**Proposals submitted under this program
announcement should be sent to:**

Office of Strategic Initiatives
LM 637
Library of Congress
101 Independence Avenue, S.E.
Washington, D.C. 20540-1300



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National Digital Information Infrastructure and Preservation Program

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TABLE OF CONTENTS

| | |
|---|-----------|
| I. GENERAL INFORMATION | 2 |
| II. NDIIPP PROGRAM OVERVIEW | 2 |
| III. PURPOSE AND ANTICIPATED OUTCOMES OF THIS PROGRAM ANNOUNCEMENT | |
| A. Introduction | 3 |
| B. Required Outcomes | 3 |
| C. Project Phases and Work Plans | 5 |
| IV. ELIGIBILITY FOR AWARD | |
| A. General Information | 8 |
| B. Partnerships | 8 |
| C. Lead Institution | 9 |
| D. Technical Capacity | 9 |
| E. Organizational Capacity | 9 |
| F. 1:1 Cost-Sharing Requirement | 9 |
| V. APPLICATION EVALUATION CRITERIA | 10 |
| VI. APPLICATION PACKAGE | 10 |
| VII. APPLICATION: SUBMISSION, REVIEW, AND AWARD | |
| A. Submission | 13 |
| B. Application Review and Award | 13 |
| VIII. CONDITIONS OF AWARD | 14 |
| IX. ASSURANCES | 16 |
| X. FORMS | 19 |

I. GENERAL INFORMATION

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| Application Deadline: | November 12, 2003 |
| Amount of Federal Award Per Project: | \$500,000 – \$3,000,000 |
| Award Instrument: | Cooperative Agreement |
| Cost Sharing: | Matching required; see Section IV.F 1:1 Cost-Sharing Requirement |
| Period of Performance: | 1 to 3 years |
| Anticipated Number of Awards: | 4 to 6 |
| Expected Award Date: | February 2004 |
| Program Contact: | Office of Strategic Initiatives osi2@loc.gov (202) 707-3455 |

2

II. NDIIPP PROGRAM OVERVIEW

In December 2000, the U.S. Congress passed legislation establishing the National Digital Information Infrastructure and Preservation Program (NDIIPP) in the Library of Congress (PL 106-554). The legislation charges the Library to lead a national planning effort for the long-term preservation of digital content and to capture current digital content that is at risk of disappearing. The legislation calls for the Library to work collaboratively with representatives of other federal, research, non-profit, philanthropic, library, and business organizations. The legislation allocates approximately \$100 million for the overall program, to be released in stages: \$5 million to be immediately authorized to develop an approach to the national program, \$20 million to be made available after Congressional approval of an NDIIPP plan, and the final \$75 million to become available to the Library as matching contributions are raised. In December 2002, Congress approved the Library's NDIIPP plan, thus enabling the next phase of work to proceed.

The over-arching programmatic focus of NDIIPP is on ensuring preservation of historically significant digital content through the establishment of a national network of committed partners, collaborating in a digital preservation architecture with defined roles and responsibilities. The ultimate goal of this national preservation program is to build a nationwide network of partners to share responsibility for digital content and to seek national solutions for:

- The continuing selection, collection, and organization of the most historically significant cultural materials and of important information resources, regardless of evolving formats,

- The long-term storage, preservation, and authenticity of those collections, and
- Persistent, rights-protected access for the public to the digital heritage of the American people.

The NDIIPP plan, *Preserving Our Digital Heritage: Plan for the National Digital Information Infrastructure and Preservation Program* (available at www.digitalpreservation.gov), calls for three broad categories of investment: practical applications and models, a digital preservation architecture, and basic digital preservation research. This first program announcement falls within the first category of investment.

III. PURPOSE AND ANTICIPATED OUTCOMES OF THIS PROGRAM ANNOUNCEMENT

A. Introduction

This first NDIIPP program announcement seeks to form an initial set of partnerships that will assist the Library in selecting, collecting, and archiving valuable digital content for which no analog-equivalent exists and/or which is at risk of disappearing. The Library seeks partners who, together with the Library, will begin to develop a base of experience in dealing with such at-risk digital content that can lead to the building of a national network of collecting and preservation partners.

Specifically, the work undertaken as part of this program announcement will not only identify and collect digital content but also define roles and responsibilities and scope of effort among network partners. This program announcement is intended for partners to examine possible partnership provisions and long-term content retention requirements while undertaking the practical work of selecting and collecting at-risk digital content. The practical work associated with selecting and collecting at-risk digital content will include:

- Establishing relationships with content owners and/or distributors,
- Seeking permissions and clearing rights for managing content under copyright,
- Establishing agreements that address the eventual preservation of the content,
- Developing joint and/or shared collection responsibilities with other collecting partners in the network throughout the content life cycle, and
- Using partner relationships to expand the content collecting network.

B. Required Outcomes

The following outcomes are required in the performance of work associated with this program announcement:

1. Partnership models for allocating collecting roles and responsibilities across collaborating institutions

This includes defining roles and responsibilities among and between the partners and the Library of Congress, and developing and testing cooperative collecting agreements among libraries, archives, and other institutions in the public and private sectors.

2. Collections of at-risk digital content

This program announcement is focused on materials created primarily in digital form for which there are no analog representations and which are at risk of disappearing. Digital conversion of analog collections is not within scope of this program announcement. However, content that is already in digital form, whether captured digitally or converted, and is at risk may be considered as a collection that is within scope of this program announcement.

Proposed digital collections may encompass a variety of cultural heritage materials. Among the collections of high interest to the Library at this time are those with holdings of historical and cultural materials or information from around the globe that document key social and political developments necessary to understand contemporary events of high importance to national legislators and policy-makers. Such subject areas might include American Law, Domestic Social Policy, Foreign Affairs, Defense and Trade, Government and Finance, and Science and Industry. Collections with holdings in languages other than English may be included within the scope of the project.

Formats of interest include textual, numeric, visual, audio, and geospatial, among others.

Content collected under this program announcement must be accessible and transferable to the Library of Congress upon request by the Library.

3. Strategies and best practices for identifying, capturing, and retaining content

These may include but are not limited to:

- Definition and selection of at-risk content of long-term value – including strategies for making these definition and selection decisions (for example, historical significance, user surveys, interests of scholars, faculty and researchers, relative institutional strengths);
- Identification, development and testing curatorial best practices for defining and selecting complex and dynamic objects, such as Web-based objects, broadcast and streaming media, GIS materials, interactive objects;
- Identification and testing curatorial best practices for selecting non-English-language materials; and

- ♦ Identification and testing of methods and/or practices for collecting digital content (such strategies may include capturing content from the Web or other sources or receiving content directly from publishers or other creators and providers).

C. Required Project Phases and Work Plans

The Library envisions a phased approach to project work covered by this program announcement. The four phases are:

1. Content Identification and Selection
2. Content Acquisition
3. Partnership Building
4. Content Retention/Transfer

The applicant should submit an overall work plan for all four of these phases. Applicants should describe how they propose to proceed with identifying, selecting, and collecting content and forming the necessary collecting partnerships, recognizing that substantial planning and collaboration with the Library will be required to further refine the phases of the project's work. The overall plan submitted with the application should be a top-level description of the approach to the entire project.

The Library recognizes that some applicants may not be able to provide a detailed description of some required phases of work at the time an application is submitted. At a minimum, each applicant should provide detailed work plans and budgets for phases 1 and 2 (Content Identification and Selection and Content Acquisition). Applicants that are able to provide detailed work plans and budget estimates for all four phases should do so. Work plans should address tangible benefits anticipated, work products to be produced, relationships among phases, Gantt Chart and milestones, and proposed resourcing and cost-sharing approaches over the period of performance.

The Library will release funds and negotiate any adjustments between the Library and the successful applicants based upon the detailed work plans submitted for each phase.

In addition to the work plan and budget, and proposed work products identified for each phase, as applicable, the Library expects the following work products:

- Narrative report at the completion of each phase documenting accomplishments, lessons learned, and any changes in strategy and work plans for other phases of the project.
- Participation in Library of Congress partnership network meetings to share findings and discuss NDIIPP topics and program issues relevant to all network partners. The Library anticipates these meetings to occur quarterly.

The following sections summarize work that should be completed in each phase of the project.

1. Content Identification and Selection

For this phase of work, the applicant will propose an identification and selection approach for capturing at-risk content and describe how results of the project will inform the collection areas of long-term interest to the Library or to the collective holdings of the nation. Approaches to determining content of value to the cultural heritage of the nation and content at risk should be documented. The applicant should provide an approach to technical descriptions of the content sufficient to enable preservation and maintenance access to the content. Other topics to be documented for this phase include:

- Identification and selection of at-risk content,
- Content subject areas, display, and use characteristics (i.e., text, video, Web site, audio, database) and size of collection,
- Processes, systems, and tools used to identify and select content,
- Associated legal and intellectual property issues to be clarified and/or resolved,
- Implications for access controls and restrictions, and
- Implications for technical sustainability over time.

The applicant is expected to provide a detailed work plan for this phase at the time of application.

2. Content Acquisition

For this phase of work, the applicant is expected to acquire content identified and selected in the prior phase. A content acquisition approach should be proposed that explains methods to be used for capture, acquisition, and/or receipt of digital materials and their ingest into a repository. Topics to be documented for this phase include:

- Technical specifications and standards for capture mechanisms (e.g., for Web harvest, file transfer [online, tangible], broadcast capture),
- Technical protection mechanisms,
- Content authentication approach,
- Security considerations,
- Vendor tools and services used to acquire content, and
- Level of effort required for automatic metadata capture.

The applicant is expected to provide a detailed work plan for this phase at the time of application.

3. Partnership Building

The applicant is expected to partner with at least one other institution, organization, or entity in the performance of this phase of work and document policy, legal, economic, and technical issues encountered during the course of the partnership. The applicant should describe the partnering strategy and models and discuss the nature of the collaboration. Topics to be documented for this phase include:

- Consortium model to include:
 1. Proposed legal entity, if any (e.g., partnership, joint venture),
 2. Management structure of the consortium,
 3. Proposed membership (industry, non-profit, educational institutions, small businesses), and
 4. Lead institution or organization responsible for the completion of the consortium's responsibilities under the cooperative agreement with the authority to commit the consortium.
- Articles of Collaboration for this project to include:
 1. Definitive description of the roles and responsibilities of the consortium's members,
 2. Commitments of financial, personnel, facilities, and other resources,
 3. Milestone chart of project activities of the consortium,
 4. Accounting requirements,
 5. Subcontracting procedures,
 6. Disputes, term of the agreement, insurance and liability issues,
 7. Internal and external reporting requirements,
 8. Obligations of organizations withdrawing from the consortia,
 9. Allocation of data and intellectual and patent rights among the consortia members, agreements, if any, to share existing technology and data,
 10. Allocation of payments from the Library of Congress, and
 11. Cost sharing among consortium members.

The applicant may provide a detailed work plan for this phase if the detailed approach to partnership building is known at the time of application.

4. Content Retention/Transfer

At a minimum, the Library expects the applicant to sustain content collected over the period of performance of this project and, ideally, beyond the date of completion of project work if requested by the Library. The Library expects that the content collected under awards from this program announcement will be transferred to the Library in the event the awardee is unable to sustain the content.

The participant should describe the approach for storing, maintaining, and protecting the content collected for the long term, including the institution's legal authority, capability, and commitment to providing long-term stewardship. The applicant should define a strategy for back-up in the event that the original custodial institution may be prevented from fulfilling its long-term custodial responsibilities. The applicant should document policy, legal, economic, and technical issues encountered in this content retention and transfer phase.

The applicant may provide a detailed work plan for this phase if the detailed approach to content retention and transfer is known at the time of application.

IV. ELIGIBILITY FOR AWARD

A. General Information

The Library welcomes applications from institutions whose missions include creating, producing, collecting, and preserving a broad range of materials in multiple formats. Applications are also invited from entities that create technologies, tools, services, and software to enable and support digital content selection, development, and capture activities. Collaborative projects among institutions of complementary missions are encouraged. Eligible applicants and partners may include: educational institutions; non-profit organizations; state, local and federal government agencies; and commercial entities. Lead institutions must be U.S.-based and non-federal.

B. Partnerships

All applicants must demonstrate the intent to form a partnership with at least one other institution, organization, or entity in addition to the Library of Congress. The Library recognizes that the responsibilities and structure of the partnership may evolve. A proposed partnership should include but is not limited to at least one collecting and preserving institution such as a library or archive or other organization with a demonstrated commitment to preservation, that is, a demonstrated history of maintaining information assets. Additional partners may include but are not limited to: technology enterprises that provide hardware and software that support content collection; content creators; publishers; and distributors.

Federal agencies may be partners, provided that, under the NDIIPP statute, a federal agency partner's resource contributions to the project are not counted toward the applicant's required cost sharing.

C. Lead Institution

The application must designate one partner as the lead institution. An institution may be named as a partner on more than one application under this program announcement, but may only be the lead institution on one application. A federal agency may not serve as a lead institution.

D. Technical Capacity

Applicants must demonstrate the capacity to capture and preserve digital information as well as their willingness to become a reliable, long-term partner in a national digital preservation network. Potential partners must demonstrate technical experience with a repository environment capable of supporting import and export functions; a storage capacity of at least 2 terabytes of digital material under active management; and the technical capability to manage the content.

E. Organizational Capacity

Applicants must show a demonstrated ability to execute projects of a total value of \$1,000,000 or more (\$500,000 federal funds and \$500,000 institutional contribution), a demonstrated history of successfully managing collaborative partnerships and projects with respect to performance, risks, and quality, and must present a viable management structure and work plan. Applicants must show capacity to provide for long-term stewardship of the content collected in the course of the project. A default institution must be identified and approved by the Library of Congress in the event that the institution designated as the steward for the content collected in the course of the project should be unable to continue to execute the responsibility for curation of the material.

F. 1:1 Cost-Sharing Requirement

This program announcement requires a 1:1 match between federal funding from the Library and resource contributions from the applicant institutions. Resource contributions from the institutions partnering together to submit an application may be in cash or in kind. An institution may count unrecovered indirect costs (also known as facilities and administrative costs) toward the cost-sharing requirement. In-kind contributions counted toward the cost-sharing requirement must not have been funded by another federal award, and must not be counted toward a match requirement of another federal award. Resource contributions from federal agencies partnering in the NDIIPP project may not be counted toward the cost-sharing requirement.

V. APPLICATION EVALUATION CRITERIA

The following criteria will be used to evaluate applications received under this announcement.

1. To what extent would the proposed project fulfill the desired outcomes for this first category of investment for the NDIIPP program?
2. To what extent would the project collect a variety of and/or at-risk digital content?
3. To what extent would the proposed digital content reflect a variety of cultural heritage materials and/or materials of interest to national legislators and policy-makers?
4. Does the applicant have an existing technical infrastructure sufficient to support a large body of digital content?
5. Does the applicant have significant experience in collecting and preserving digital content, or content that only exists in digital form?
6. Does the applicant have demonstrated experience in maintaining and managing digital content?
7. What are the strengths and expertise of the proposed key personnel?
8. Does the proposed partnership leverage prior work and encourage organizations of differing but potentially complementary missions and expertise to cooperate in support of long-term preservation of digital content?

VI. APPLICATION PACKAGE

A technically complete application should include the following elements and should adhere to the specified page limits, where indicated. Cover sheet and budget forms can be found at the end of this document.

1. Application Cover Sheet

2. Abstract

[one page]

Provide a one-page abstract written for a non-specialist audience stating clearly the project's importance to collaborative collection development with respect to (1) identifying and capturing at-risk digital materials of importance to the nation; (2) building a network of cooperating partners; and (3) strategies and best practices for identifying, capturing, and retaining content. Describe the nature and extent of the materials that are the focus of the project.

3. Table of Contents

List all parts of the application with corresponding page numbers.

4. Work Plan

[Section 4, Work Plan, and Section 5, Staffing and Institutional Capacities, together may not exceed 15 pages.]

Provide a summary description of the applicant's approach to the project work. Describe how all project phases are interrelated and will be accomplished. Include a schedule of tasks, allocation of responsibilities, milestones, and deliverables.

Separately provide detailed work plans for specific project phases as part of the Appendices and make any necessary references to those detailed work plans as appropriate in the higher level project work plan. At a minimum, detailed work plans must be provided for content identification and selection and content acquisition phases. There is no page limit on the detailed work plans included in the Appendices.

The Library envisions four phases of project work over the period of performance for each project where phases may be performed in parallel, sequentially, or otherwise as the applicant deems most appropriate to the specific content selection, collection, retention, and partnership approach being proposed. The Library recognizes that some applicants may already be engaged in digital content collection development and partnership building. Consequently, detailed work plans for each of the phases may vary from applicant to applicant depending on the applicant's specific experience and existing relationships.

For example, a collecting consortium of partners that exists may wish to propose a known set of at-risk content being collected by the consortium and for which the consortium plans to explore additional partnership building strategies and content retention and transferability approaches. In this case, rather than providing the Library with detailed work plans for selecting and collecting content in the future, the Library will expect the applicant to document existing approaches. Specifically, the applicant will provide the Library with detailed description regarding the known content and how that content is being selected and collected, including any legal and intellectual property issues encountered. At the same time, the Library will expect detailed future work plans at the time of application for the partnership building and content retention and transferability phases.

5. Staffing and Institutional Capacities

[Section 4, Work Plan, and Section 5, Staffing and Institutional Capacities, together may not exceed 15 pages.]

Identify the project's staff, including partners, consultants, and other staff to be hired for the project, and describe their roles and qualifications for the specific responsibilities assigned to them. Indicate the amount of time that principal members of the project's staff will devote to the project. All people directly involved in the conduct of the project, whether supported by Library funds or by

cost sharing, must be named in the budget, and their anticipated commitments of time must be indicated. If the project has an advisory board, explain its function and identify its membership.

6. Budget and Cost-Sharing Proposal

Complete the attached summary budget form and provide a detailed budget for each project year. Budget items must be consistent with OMB Circulars A-21 “Cost Principles for Educational Institutions,” A-122 “Cost Principles for Non-Profit Organizations,” A-87 “Cost Principles for State, Local and Indian Tribal Governments,” and/or Federal Acquisition Regulation (FAR) Part 31 (48 C.F.R. Part 31), as applicable. The Circulars are available at www.whitehouse.gov/omb/circulars/ and the FAR is available at www.arnet.gov/far/loadmainre.html.

7. Appendices

Use appendices to provide the following:

- Detailed work plans for each phase, as applicable.
- Pointers to Web sites that illustrate capabilities and copies of example pages of these sites.
- Brief resumes (no longer than two pages each) for staff with major responsibilities for the project’s implementation and for consultants to the project.
- Job descriptions for any additional staff who may be hired specifically to work on the project.
- Letters of commitment from cooperating institutions and outside participants.
- Letters of support.
- Project consultants and advisory board members (if relevant).
- Signed Assurances.

Application Checklist

Limit Section 1, Abstract, to one page and Sections 4, Work Plan, and 5, Staffing and Institutional Capacities, together to no more than a total of 15 pages. All pages should be single-spaced, single-sided, should have one-inch margins, and should be collated and numbered consecutively throughout. The font size should be no smaller than 11 point. Use appendices to provide supplementary material, including resumes, which should be no longer than two pages for each individual.

Include the original and 16 collated copies assembled in the following order:

1. Signed Application Cover sheet
2. Abstract
3. Table of Contents
4. Work Plan
5. Staffing and Institutional Capacities
6. Budget and Cost-Sharing Proposal
7. Appendices

VII. APPLICATION: SUBMISSION, REVIEW, AND AWARD

A. Submission

Application packages should be sent to:

Office of Strategic Initiatives
LM 637
Library of Congress
101 Independence Avenue, S.E.
Washington, D.C. 20540-1300

All mail and deliveries to the Library are put through a screening process, which results in lengthy delays in delivery. To ensure the deadline for submission is met, applicants may wish to use commercial services. Applicants must ensure that the application package has been postmarked by the November 12, 2003, date. Please note that November 11, 2003, is a federal holiday. Due to the length and number of copies required for complete submission, applications cannot be accepted by fax or e-mail.

B. Application Review and Award

Application review will begin after the deadline for submission, November 12, 2003. Applications will be evaluated through a peer review process. Applications that are judged to be of the highest quality and significance, and that, taken together, represent a balanced portfolio of investments for the NDIIPP program will be recommended to the Librarian of Congress for award. The Librarian will make the final decisions on awards.

The Library may choose to consider an award under this program announcement as pre-qualification for an award under a subsequent phase of the NDIIPP program.

No information about the status of an application will be released until all applications have been reviewed and award decisions made. The Library will inform applicants of final decisions on their applications.

VIII. CONDITIONS OF AWARD

A. Cooperative Agreement

The Library will negotiate an individual cooperative agreement with each applicant selected for award under this program announcement. The cooperative agreement will be amended, as necessary, to reflect detailed work plans, schedules, and budgets for each phase of the awardee's project. Applicants may be awarded an amount less than that requested.

For these NDIIPP awards, the Library will apply standard Office of Management and Budget (OMB) Circulars on grants management with respect to administrative requirements, cost principles, and audits. The Library may modify the Circulars as appropriate for a program managed by a legislative branch agency. The OMB Circulars are available at www.whitehouse.gov/omb/circulars/.

B. Certifications and Assurances

In addition to a general certification that the applicant will comply with all applicable federal laws and regulations, and Library policies, applicants must assure the Library that both the project's lead institution or organization and all project partners are compliant with federal requirements regarding nondiscrimination, federal debt-free status, federal debarment and suspension, drug-free workplace, and disclosure of lobbying activities. These assurances are material representations of fact upon which the Library will rely when deciding whether to make an award to an applicant. If it is later determined that the applicant knowingly provided an erroneous certification or did not comply with the requirements, in addition to other remedies available to the federal government, the Library may seek judicial enforcement of the certification; may terminate the award for cause or default; and may suspend payment or suspend or terminate the award.

C. Intellectual Property

The awardee (and/or partners, as appropriate) may claim copyright in works created under an award from this program announcement. The Library reserves a royalty-free, nonexclusive and irrevocable right to reproduce, publish, or otherwise use such works for federal purposes, and to authorize others to do so.

The Library will have the right to review in advance any use of its name in advertising, promoting, or publicizing an NDIIPP award or any products or services produced in association with an award.

The awardee is responsible for securing appropriate licenses and permissions for acquisition, access and preservation of copyrighted works that are collected, manipulated and/or maintained under an award from this program announcement. These licenses and permissions must include Library access to all of the content collected and transfer of ownership of a copy of the content to the Library.

D. Cost Sharing

The Library will accept an awardee's contributions to the required 1:1 cost-sharing match (including cash, in-kind, and third party contributions) when those contributions meet the requirements of section 23 of OMB Circular A-110, "Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals and Other Non-Profit Organizations." Chief among these requirements are that the contribution must be: 1) verifiable from the awardee's records; 2) not included as contributions for any other federally assisted program; 3) necessary and reasonable for proper and efficient accomplishment of project objectives; 4) allowable under the applicable cost principles; 5) not paid by the federal government under another award.

All revenues generated with project funds by the awardee and associated partners during the award period must be reported as program income and should be applied to the awardee's cost-sharing contribution. Values for contributions of services and property will be established in accordance with applicable cost principles and must be supported by documentation of the method of assessing their value. The required documentation will include a management assertion letter from the institution's chief executive officer or chief financial officer as to the value of the in-kind contribution supported by an auditor's opinion confirming that the assertion is fairly stated.

15

E. Payment, Accounting, and Reporting

Payment will be made electronically through the Department of Treasury's Automated Standard Application for Payments (ASAP) system. Withdrawals through the ASAP system must be timed so that the transfer of funds to the awardee coincides as closely as possible to the awardee's actual disbursement of funds to cover project expenses. NDIIPP funds must be maintained in an accounting system that is adequate to ensure that the funds are used for project costs only. Awards will be subject to standard OMB audit requirements. Each awardee will be required to submit regular quarterly Federal Cash Transaction Reports to document the use of NDIIPP funds. In addition to the narrative reports required at the end of each project phase, each awardee will be required to submit annual financial status reports. A final performance report and a final financial report will be required as well.

F. Period of Performance

The period of performance under an award from this program announcement will be from one to three years. The Library reserves the right to extend the period of award. The project start date, schedule, and end date will be established during the negotiation of an awardee's cooperative agreement with the Library. Only expenses incurred during the project period may be charged to the award, with the limited exception that, with the Library's approval, pre-award costs incurred in direct anticipation of an

award may be charged to the award. Cash and in-kind contributions toward the awardee's cost-sharing requirement must be made during the award period.

G. DUNS Number and Federal Tax ID Number

The Library will require all applicants to provide a Dun and Bradstreet (D&B) Data Universal Numbering System (DUNS) number. The DUNS number will provide a cost-effective means to identify entities receiving awards and their business relationships. Applicants must also provide an Employer Identification Number (EIN). Awardees will be required to provide additional information to facilitate electronic funds transfer.

IX. ASSURANCES

By signing the application form, the authorizing official, on behalf of the applicant, assures and certifies that, should an NDIIPP award be made, it will comply with the statutes outlined below and all related Library of Congress regulations and policies. These assurances are given in connection with any and all financial assistance from the Library after the date this form is signed, but may include payments after this date for financial assistance approved prior to this date. These assurances obligate the applicant for the period during which the Federal financial assistance is extended. The applicant recognizes and agrees that any such assistance will be extended in reliance on the representations and agreements made in these assurances, and that the United States government has the right to seek judicial enforcement of these assurances, which are binding on the applicant, its successors, transferees, and assignees, and on the authorized official whose signature appears on the application form.

A. Certification Regarding the Nondiscrimination Statutes and Implementing Regulations

The applicant certifies that it will comply with the following nondiscrimination statutes and their implementing regulations:

- (a) Title VI of the Civil Rights Act of 1964 (42 U.S.C. 2000d et seq.) which provides that no person in the United States shall, on the ground of race, color, or national origin, be excluded from participation in, be denied the benefits of, or otherwise be subjected to discrimination under any program or activity for which the applicant received federal financial assistance;
- (b) Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. 794), which prohibits discrimination on the basis of handicap in programs and activities receiving federal financial assistance;
- (c) Title IX of the Education Amendments of 1972, as amended (20 U.S.C. 1681 et seq.), which prohibits discrimination on the basis of sex in education programs and activities receiving federal financial assistance; and

- (d) the Age Discrimination Act of 1975, as amended (42 U.S.C. 6101 et seq.), which prohibits discrimination on the basis of age in programs and activities receiving federal financial assistance, except that actions which reasonably take age into account as a factor necessary for the normal operation or achievement of any statutory objective of the project or activity shall not violate this statute.

B. Certification Regarding Federal Debt Status

The applicant certifies to the best of its knowledge and belief, that it is not delinquent in the repayment of any federal debt.

C. Certification Regarding Debarment and Suspension (45 CFR 1169)

The prospective primary participant (applicant) certifies to the best of its knowledge and belief that it and its principals:

- (a) are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any federal department or agency;
- (b) within a three-year period preceding this proposal have not been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (federal, state, or local) transaction or contract under a public transaction; violation of federal or state antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;
- (c) are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (federal, state, or local) with commission of any of the offenses enumerated in paragraph (b) of this certification; and
- (d) within a three-year period preceding this application/proposal have not had one or more public transactions (federal, state, or local) terminated for cause or default.

D. Certification Regarding Drug-Free Workplace Requirements (Drug-Free Workplace Act of 1988)

The awardee certifies that it will provide a drug-free workplace by

- (a) publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession or use of a controlled substance is prohibited in the grantee's workplace and specifying the actions that will be taken against employees for violation of such prohibitions;
- (b) establishing an ongoing drug-free awareness program to inform employees about:
 - (1) the dangers of drug abuse in the workplace;

- (2) the grantee's policy of maintaining a drug-free workplace;
 - (3) any available drug counseling, rehabilitation, and employee assistance programs; and
 - (4) the penalties that may be imposed on employees for drug abuse violations occurring in the workplace;
- (c) making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph (a);
- (d) notifying the employee in the statement required by paragraph (a) that, as a condition of employment under the grant, the employee will:
 - (1) abide by the terms of the statement; and
 - (2) notify the employer in writing of his or her conviction for a violation of a criminal drug statute occurring in the workplace not later than five calendar days after such conviction;
- (e) notifying the agency in writing within ten calendar days after receiving notice under subparagraph (d)(2) from an employee or otherwise receiving actual notice of such conviction. Employers of convicted employees must provide notice, including position title, to every grant officer on whose grant activity the convicted employee was working, unless the federal agency has designated a central point for the receipt of such notices. Notices shall include the identification number(s) of each affected grant;
- (f) taking one of the following actions, within 30 calendar days of receiving notice under subparagraph (d)(2), with respect to any employee who is so convicted:
 - (1) taking appropriate personnel action against such an employee, up to and including termination consistent with the requirements of the Rehabilitation Act of 1973, as amended; or
 - (2) requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a federal, state, or local health, law enforcement, or other appropriate agency;
- (g) making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs (a), (b), (c), (d), (e), and (f).

The applicant shall either identify the site(s) for the performance of work done in connection with the project in the application material or shall keep this information on file in its office so that it is available for federal inspection. The street address, city, county, state, and zip code should be provided whenever possible.

E. Certification Regarding Lobbying Activities (45 CFR 1168)
(Applies to Applicants Requesting Federal Funds in Excess of \$100,000)

The undersigned certifies, to the best of his or her knowledge and belief, that:

- (1) No federal appropriated funds have been paid or will be paid by or on behalf of the undersigned to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of a federal contract, the making of a federal grant, the making of a federal loan, the entering into of a cooperative agreement, and the extension, continuation, renewal, amendment, or modification of a federal contract, grant, loan, or cooperative agreement.
- (2) If any funds other than federal appropriated funds have been paid or will be paid to any person (other than a regularly employed officer or employee of the applicant) for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this federal contract, grant, loan, or cooperative agreement, the undersigned shall request, complete, and submit Standard Form LLL, "Disclosure of Lobbying Activities," in accordance with its instructions.
- (3) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly.

X. FORMS

The following forms can be completed at the end of this packet:

- Application Cover Sheet
- Partner Institutions
- Summary Budget



APPLICATION COVER SHEET

APPLICANT (LEAD INSTITUTION)

Name: _____

Mailing Address: _____

Web Address: _____

Institution Status: ☐ Educational ☐ State, local or tribal government ☐ Non-profit ☐ Commercial

DUNS Number: _____ Employer Identification Number _____

PROJECT

Title: _____

Amount: _____ Federal Share: _____ Applicant Share: _____

Period: ☐ 1 year ☐ 2 years ☐ 3 years

PROJECT DIRECTOR

Name: _____

Title: _____

Mailing Address: _____

Telephone: _____ Fax: _____ Email: _____

AUTHORIZING OFFICIAL

Name: _____

Title: _____

Mailing Address: _____

Telephone: _____ Fax: _____ Email: _____

CERTIFICATION

The authorizing official, on behalf of the applicant, certifies that: 1) the information in this application is accurate and complete; 2) the applicant has the legal authority to apply for federal assistance as described in this application; 3) should an NDIIPP award be made, the applicant will comply with applicable Federal laws and regulations, including the statutory requirements identified in the Assurances section of this application.

AUTHORIZING OFFICIAL SIGNATURE

Signature: _____ Date: _____



PARTNER INSTITUTIONS (USE ADDITIONAL FORMS AS NECESSARY)

APPLICANT (LEAD INSTITUTION)

Name: _____

PARTNER INSTITUTION

Name: _____

Mailing Address: _____

Web Address: _____

Institution Status: ☐ Educational ☐ State, local or tribal government ☐ Federal government
☐ Non-profit ☐ Commercial

DUNS Number: _____ Employer Identification Number _____

PARTNER INSTITUTION

Name: _____

Mailing Address: _____

Web Address: _____

Institution Status: ☐ Educational ☐ State, local or tribal government ☐ Federal government
☐ Non-profit ☐ Commercial

DUNS Number: _____ Employer Identification Number _____

PARTNER INSTITUTION

Name: _____

Mailing Address: _____

Web Address: _____

Institution Status: ☐ Educational ☐ State, local or tribal government ☐ Federal government
☐ Non-profit ☐ Commercial

DUNS Number: _____ Employer Identification Number _____



SUMMARY BUDGET

APPLICANT (LEAD INSTITUTION)

Name: _____

| TOTAL PROJECT | FEDERAL SHARE Library of Congress | APPLICANT SHARE | | | TOTAL |
|-------------------------|--------------------------------------|-----------------|-------------|----------|--------------|
| | | Applicant | Partner(s)* | Subtotal | |
| Salaries and Wages | | | | | |
| Benefits | | | | | |
| Travel | | | | | |
| Equipment | | | | | |
| Materials and Supplies | | | | | |
| Contracts | | | | | |
| Other Direct Costs | | | | | |
| Indirect Costs | | | | | |
| Total Project | | | | | |
| YEAR 1 | | | | | TOTAL |
| Salaries and Wages | | | | | |
| Benefits | | | | | |
| Travel | | | | | |
| Equipment | | | | | |
| Materials and Supplies | | | | | |
| Contracts | | | | | |
| Other Direct Costs | | | | | |
| Indirect Costs | | | | | |
| Subtotal: Year 1 | | | | | |
| YEAR 2 | | | | | TOTAL |
| Salaries and Wages | | | | | |
| Benefits | | | | | |
| Travel | | | | | |
| Equipment | | | | | |
| Materials and Supplies | | | | | |
| Contracts | | | | | |
| Other Direct Costs | | | | | |
| Indirect Costs | | | | | |
| Subtotal: Year 2 | | | | | |
| YEAR 3 | | | | | TOTAL |
| Salaries and Wages | | | | | |
| Benefits | | | | | |
| Travel | | | | | |
| Equipment | | | | | |
| Materials and Supplies | | | | | |
| Contracts | | | | | |
| Other Direct Costs | | | | | |
| Indirect Costs | | | | | |
| Subtotal: Year 3 | | | | | |

* Total of the partners' resource contributions, not including contributions from the applicant or from Federal agency partners.

